

02/13/01



J1000 U.S. PTO

02-14-01

A

Please type a plus sign (+) inside this



Ap for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

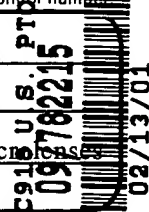
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 62305 79287

First Inventor Chi Guan

Title Ink-Jet Printing of Gradient-Index Microstructures

Express Mail Label No. EL590378154US



02/13/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 21]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 7]
5. Oath or Declaration [Total Pages 4]
- a. ☒ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
- b. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement [] Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure [] Copies of IDS
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☒ Other: Petition to Accept Photographs as.....
Drawings (37 CFR 1.84(b)).....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No. 60 , 182,736

Prior application information:

Examiner

Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or



Correspondence address below

Name

Harry J. Watson, Locke Liddell & Sapp LLP

Address

2200 Ross Ave, Suite 2200

City

Dallas

State

TX

Zip Code

75201

Country

USA

Telephone

214-740-8000

Fax

214-740-8800

Name (Print/Type)

Harry J. Watson

Registration No. (Attorney/Agent)

29,985

Signature

Date

2/13/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

<h2 style="margin: 0;">FEE TRANSMITTAL</h2> <h3 style="margin: 0;">for FY 2000</h3> <p style="font-size: small; margin: 0;">Patent fees are subject to annual revision. Small Entity payments <u>must</u> be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.</p>	<p style="text-align: center; font-weight: bold; font-size: small;">Complete if Known</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 50%;">Application Number</td><td></td></tr> <tr><td>Filing Date</td><td></td></tr> <tr><td>First Named Inventor</td><td>Chi Guan</td></tr> <tr><td>Examiner Name</td><td></td></tr> <tr><td>Group / Art Unit</td><td></td></tr> <tr><td>Attorney Docket No.</td><td>62305 79287</td></tr> </table>	Application Number		Filing Date		First Named Inventor	Chi Guan	Examiner Name		Group / Art Unit		Attorney Docket No.	62305 79287
Application Number													
Filing Date													
First Named Inventor	Chi Guan												
Examiner Name													
Group / Art Unit													
Attorney Docket No.	62305 79287												
TOTAL AMOUNT OF PAYMENT (\$) 525.00													

<p>METHOD OF PAYMENT (check one)</p> <p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number: <u>12-1781</u></p> <p>Deposit Account Name: _____</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p style="margin-left: 20px;"><input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p> <p style="text-align: center; font-weight: bold; font-size: small;">FEE CALCULATION</p> <p>1. BASIC FILING FEE</p> <table style="width: 100%; font-size: x-small;"> <thead> <tr> <th>Large Entity Code</th> <th>Small Entity Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101</td><td>690</td><td>201 345</td><td>Utility filing fee</td><td><u>355.00</u></td></tr> <tr><td>106</td><td>310</td><td>206 155</td><td>Design filing fee</td><td></td></tr> <tr><td>107</td><td>480</td><td>207 240</td><td>Plant filing fee</td><td></td></tr> <tr><td>108</td><td>690</td><td>208 345</td><td>Reissue filing fee</td><td></td></tr> <tr><td>114</td><td>150</td><td>214 75</td><td>Provisional filing fee</td><td></td></tr> <tr> <td colspan="4">SUBTOTAL (1)</td> <td>(\$)<u>355.00</u></td> </tr> </tbody> </table> <p>2. EXTRA CLAIM FEES</p> <table style="width: 100%; font-size: x-small;"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td><u>20</u></td> <td><u>20</u>** = <u>0</u></td> <td>X <u>9</u></td> <td>= <u>0</u></td> </tr> <tr> <td><u>2</u></td> <td><u>2</u>*** = <u>0</u></td> <td>X <u>40</u></td> <td>= <u>0</u></td> </tr> <tr> <td>Multiple Dependent</td> <td></td> <td></td> <td>= <u>0</u></td> </tr> </tbody> </table> <p><small>**or number previously paid, if greater; For Reissues, see below</small></p> <table style="width: 100%; font-size: x-small;"> <thead> <tr> <th>Large Entity Code</th> <th>Small Entity Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203 9</td><td>Claims in excess of 20</td><td></td></tr> <tr><td>102</td><td>78</td><td>202 39</td><td>Independent claims in excess of 3</td><td></td></tr> <tr><td>104</td><td>260</td><td>204 130</td><td>Multiple dependent claim, if not paid</td><td></td></tr> <tr><td>109</td><td>78</td><td>209 39</td><td>** Reissue independent claims over original patent</td><td></td></tr> <tr><td>110</td><td>18</td><td>210 9</td><td>** Reissue claims in excess of 20 and over original patent</td><td></td></tr> <tr> <td colspan="4">SUBTOTAL (2)</td> <td>(\$)<u>0.00</u></td> </tr> </tbody> </table>	Large Entity Code	Small Entity Code	Fee (\$)	Fee Description	Fee Paid	101	690	201 345	Utility filing fee	<u>355.00</u>	106	310	206 155	Design filing fee		107	480	207 240	Plant filing fee		108	690	208 345	Reissue filing fee		114	150	214 75	Provisional filing fee		SUBTOTAL (1)				(\$)<u>355.00</u>	Total Claims	Extra Claims	Fee from below	Fee Paid	<u>20</u>	<u>20</u> ** = <u>0</u>	X <u>9</u>	= <u>0</u>	<u>2</u>	<u>2</u> *** = <u>0</u>	X <u>40</u>	= <u>0</u>	Multiple Dependent			= <u>0</u>	Large Entity Code	Small Entity Code	Fee (\$)	Fee Description	Fee Paid	103	18	203 9	Claims in excess of 20		102	78	202 39	Independent claims in excess of 3		104	260	204 130	Multiple dependent claim, if not paid		109	78	209 39	** Reissue independent claims over original patent		110	18	210 9	** Reissue claims in excess of 20 and over original patent		SUBTOTAL (2)				(\$)<u>0.00</u>	<p>3. ADDITIONAL FEES</p> <table style="width: 100%; font-size: x-small;"> <thead> <tr> <th>Large Entity Code</th> <th>Small Entity Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205 65</td><td>Surcharge - late filing fee or oath</td><td><u>0.00</u></td></tr> <tr><td>127</td><td>50</td><td>227 25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td><u>0.00</u></td></tr> <tr><td>139</td><td>130</td><td>139 130</td><td>Non-English specification</td><td><u>0.00</u></td></tr> <tr><td>147</td><td>2,520</td><td>147 2,520</td><td>For filing a request for reexamination</td><td><u>0.00</u></td></tr> <tr><td>112</td><td>920*</td><td>112 920*</td><td>Requesting publication of SIR prior to Examiner action</td><td><u>0.00</u></td></tr> <tr><td>113</td><td>1,840*</td><td>113 1,840*</td><td>Requesting publication of SIR after Examiner action</td><td><u>0.00</u></td></tr> <tr><td>115</td><td>110</td><td>215 55</td><td>Extension for reply within first month</td><td><u>0.00</u></td></tr> <tr><td>116</td><td>380</td><td>216 190</td><td>Extension for reply within second month</td><td><u>0.00</u></td></tr> <tr><td>117</td><td>870</td><td>217 435</td><td>Extension for reply within third month</td><td><u>0.00</u></td></tr> <tr><td>118</td><td>1,360</td><td>218 680</td><td>Extension for reply within fourth month</td><td><u>0.00</u></td></tr> <tr><td>128</td><td>1,850</td><td>228 925</td><td>Extension for reply within fifth month</td><td><u>0.00</u></td></tr> <tr><td>119</td><td>300</td><td>219 150</td><td>Notice of Appeal</td><td><u>0.00</u></td></tr> <tr><td>120</td><td>300</td><td>220 150</td><td>Filing a brief in support of an appeal</td><td><u>0.00</u></td></tr> <tr><td>121</td><td>260</td><td>221 130</td><td>Request for oral hearing</td><td><u>0.00</u></td></tr> <tr><td>138</td><td>1,510</td><td>138 1,510</td><td>Petition to institute a public use proceeding</td><td><u>0.00</u></td></tr> <tr><td>140</td><td>110</td><td>240 55</td><td>Petition to revive - unavoidable</td><td><u>0.00</u></td></tr> <tr><td>141</td><td>1,210</td><td>241 605</td><td>Petition to revive - unintentional</td><td><u>0.00</u></td></tr> <tr><td>142</td><td>1,210</td><td>242 605</td><td>Utility issue fee (or reissue)</td><td><u>0.00</u></td></tr> <tr><td>143</td><td>430</td><td>243 215</td><td>Design issue fee</td><td><u>0.00</u></td></tr> <tr><td>144</td><td>580</td><td>244 290</td><td>Plant issue fee</td><td><u>0.00</u></td></tr> <tr><td>122</td><td>130</td><td>122 130</td><td>Petitions to the Commissioner</td><td><u>130.00</u></td></tr> <tr><td>123</td><td>50</td><td>123 50</td><td>Petitions related to provisional applications</td><td><u>0.00</u></td></tr> <tr><td>126</td><td>240</td><td>126 240</td><td>Submission of Information Disclosure Stmt</td><td><u>0.00</u></td></tr> <tr><td>581</td><td>40</td><td>581 40</td><td>Recording each patent assignment per property (times number of properties)</td><td><u>40.00</u></td></tr> <tr><td>146</td><td>690</td><td>246 345</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td><u>0.00</u></td></tr> <tr><td>149</td><td>690</td><td>249 345</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td><u>0.00</u></td></tr> <tr><td colspan="4">Other fee (specify) _____</td><td><u>0.00</u></td></tr> <tr><td colspan="4">Other fee (specify) _____</td><td><u>0.00</u></td></tr> <tr> <td colspan="4">SUBTOTAL (3)</td> <td>(\$)<u>170.00</u></td> </tr> </tbody> </table> <p><small>* Reduced by Basic Filing Fee Paid</small></p>	Large Entity Code	Small Entity Code	Fee (\$)	Fee Description	Fee Paid	105	130	205 65	Surcharge - late filing fee or oath	<u>0.00</u>	127	50	227 25	Surcharge - late provisional filing fee or cover sheet.	<u>0.00</u>	139	130	139 130	Non-English specification	<u>0.00</u>	147	2,520	147 2,520	For filing a request for reexamination	<u>0.00</u>	112	920*	112 920*	Requesting publication of SIR prior to Examiner action	<u>0.00</u>	113	1,840*	113 1,840*	Requesting publication of SIR after Examiner action	<u>0.00</u>	115	110	215 55	Extension for reply within first month	<u>0.00</u>	116	380	216 190	Extension for reply within second month	<u>0.00</u>	117	870	217 435	Extension for reply within third month	<u>0.00</u>	118	1,360	218 680	Extension for reply within fourth month	<u>0.00</u>	128	1,850	228 925	Extension for reply within fifth month	<u>0.00</u>	119	300	219 150	Notice of Appeal	<u>0.00</u>	120	300	220 150	Filing a brief in support of an appeal	<u>0.00</u>	121	260	221 130	Request for oral hearing	<u>0.00</u>	138	1,510	138 1,510	Petition to institute a public use proceeding	<u>0.00</u>	140	110	240 55	Petition to revive - unavoidable	<u>0.00</u>	141	1,210	241 605	Petition to revive - unintentional	<u>0.00</u>	142	1,210	242 605	Utility issue fee (or reissue)	<u>0.00</u>	143	430	243 215	Design issue fee	<u>0.00</u>	144	580	244 290	Plant issue fee	<u>0.00</u>	122	130	122 130	Petitions to the Commissioner	<u>130.00</u>	123	50	123 50	Petitions related to provisional applications	<u>0.00</u>	126	240	126 240	Submission of Information Disclosure Stmt	<u>0.00</u>	581	40	581 40	Recording each patent assignment per property (times number of properties)	<u>40.00</u>	146	690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))	<u>0.00</u>	149	690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))	<u>0.00</u>	Other fee (specify) _____				<u>0.00</u>	Other fee (specify) _____				<u>0.00</u>	SUBTOTAL (3)				(\$)<u>170.00</u>
Large Entity Code	Small Entity Code	Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																									
101	690	201 345	Utility filing fee	<u>355.00</u>																																																																																																																																																																																																																																									
106	310	206 155	Design filing fee																																																																																																																																																																																																																																										
107	480	207 240	Plant filing fee																																																																																																																																																																																																																																										
108	690	208 345	Reissue filing fee																																																																																																																																																																																																																																										
114	150	214 75	Provisional filing fee																																																																																																																																																																																																																																										
SUBTOTAL (1)				(\$)<u>355.00</u>																																																																																																																																																																																																																																									
Total Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																																																																																																																																										
<u>20</u>	<u>20</u> ** = <u>0</u>	X <u>9</u>	= <u>0</u>																																																																																																																																																																																																																																										
<u>2</u>	<u>2</u> *** = <u>0</u>	X <u>40</u>	= <u>0</u>																																																																																																																																																																																																																																										
Multiple Dependent			= <u>0</u>																																																																																																																																																																																																																																										
Large Entity Code	Small Entity Code	Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																									
103	18	203 9	Claims in excess of 20																																																																																																																																																																																																																																										
102	78	202 39	Independent claims in excess of 3																																																																																																																																																																																																																																										
104	260	204 130	Multiple dependent claim, if not paid																																																																																																																																																																																																																																										
109	78	209 39	** Reissue independent claims over original patent																																																																																																																																																																																																																																										
110	18	210 9	** Reissue claims in excess of 20 and over original patent																																																																																																																																																																																																																																										
SUBTOTAL (2)				(\$)<u>0.00</u>																																																																																																																																																																																																																																									
Large Entity Code	Small Entity Code	Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																									
105	130	205 65	Surcharge - late filing fee or oath	<u>0.00</u>																																																																																																																																																																																																																																									
127	50	227 25	Surcharge - late provisional filing fee or cover sheet.	<u>0.00</u>																																																																																																																																																																																																																																									
139	130	139 130	Non-English specification	<u>0.00</u>																																																																																																																																																																																																																																									
147	2,520	147 2,520	For filing a request for reexamination	<u>0.00</u>																																																																																																																																																																																																																																									
112	920*	112 920*	Requesting publication of SIR prior to Examiner action	<u>0.00</u>																																																																																																																																																																																																																																									
113	1,840*	113 1,840*	Requesting publication of SIR after Examiner action	<u>0.00</u>																																																																																																																																																																																																																																									
115	110	215 55	Extension for reply within first month	<u>0.00</u>																																																																																																																																																																																																																																									
116	380	216 190	Extension for reply within second month	<u>0.00</u>																																																																																																																																																																																																																																									
117	870	217 435	Extension for reply within third month	<u>0.00</u>																																																																																																																																																																																																																																									
118	1,360	218 680	Extension for reply within fourth month	<u>0.00</u>																																																																																																																																																																																																																																									
128	1,850	228 925	Extension for reply within fifth month	<u>0.00</u>																																																																																																																																																																																																																																									
119	300	219 150	Notice of Appeal	<u>0.00</u>																																																																																																																																																																																																																																									
120	300	220 150	Filing a brief in support of an appeal	<u>0.00</u>																																																																																																																																																																																																																																									
121	260	221 130	Request for oral hearing	<u>0.00</u>																																																																																																																																																																																																																																									
138	1,510	138 1,510	Petition to institute a public use proceeding	<u>0.00</u>																																																																																																																																																																																																																																									
140	110	240 55	Petition to revive - unavoidable	<u>0.00</u>																																																																																																																																																																																																																																									
141	1,210	241 605	Petition to revive - unintentional	<u>0.00</u>																																																																																																																																																																																																																																									
142	1,210	242 605	Utility issue fee (or reissue)	<u>0.00</u>																																																																																																																																																																																																																																									
143	430	243 215	Design issue fee	<u>0.00</u>																																																																																																																																																																																																																																									
144	580	244 290	Plant issue fee	<u>0.00</u>																																																																																																																																																																																																																																									
122	130	122 130	Petitions to the Commissioner	<u>130.00</u>																																																																																																																																																																																																																																									
123	50	123 50	Petitions related to provisional applications	<u>0.00</u>																																																																																																																																																																																																																																									
126	240	126 240	Submission of Information Disclosure Stmt	<u>0.00</u>																																																																																																																																																																																																																																									
581	40	581 40	Recording each patent assignment per property (times number of properties)	<u>40.00</u>																																																																																																																																																																																																																																									
146	690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))	<u>0.00</u>																																																																																																																																																																																																																																									
149	690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))	<u>0.00</u>																																																																																																																																																																																																																																									
Other fee (specify) _____				<u>0.00</u>																																																																																																																																																																																																																																									
Other fee (specify) _____				<u>0.00</u>																																																																																																																																																																																																																																									
SUBTOTAL (3)				(\$)<u>170.00</u>																																																																																																																																																																																																																																									

SUBMITTED BY		Complete (if applicable)	
Name (Print/Type)	Harry J. Watson	Registration No. (Attorney/Agent)	29,985
Signature		Telephone	214 740 8713
		Date	2/13/2001

WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Guan, Chi

For: Ink-Jet Printing of Gradient-Index Microlenses

Assistant Commissioner for Patents
Washington, D.C. 20231



EXPRESS MAIL CERTIFICATE

"Express Mail" label number EL590378154US

Date of Deposit FEBRUARY 13 2001

I hereby state that the following *attached* papers and fees

Fee Transmittal; Patent Application Transmittal; 21 pages of specification; 7 pages informal drawings; Petition to Accept Photographs as Drawings, 3 Photographs; Declaration of Inventor - Cox; Declaration of Inventor - Guan; Postcard Acknowledgement; check in the amount of \$485.00 to cover the filing fee and petition fee; this Express Mail Certificate of Mailing

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. section 1.10, on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Jean Brown

Signature of person mailing paper or fee